



PATENT APPLICATION

In the United States Patent and Trademark Office

Applicant: John Paulson  
Docket No.: PAULJO-4  
Date: June 19, 2003  
Application No.: 09/928,918  
Filed: August 13, 2001  
Art Unit: 3677  
Examiner: Katherine W. Mithcell  
For: SEGMENTAL BLOCK CONNECTION SYSTEM

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JUN 24 2003  
**GROUP 3600**

**Certificate of Mailing**  
I hereby certify that this correspondence is being deposited with the United States Postal Service as Express mail in an envelope addressed to:  
Commissioner for Patents, P.O.  
Box 1450, Alexandria, VA  
22313-1450  
On June 19, 2003  
Signature Jeffrey W. Smith  
Jeffrey W. Smith, Reg. No. 33455  
Name of Applicant, assignee or  
Registered Representative

**STATEMENT CLAIMING SMALL ENTITY STATUS  
37 CFR 1.9(F) AND 1.27(B) – INDEPENDENT INVENTOR**

As a below named inventor, I hereby state that I qualify as an independent inventor, as defined in 37 CFR 1.9(c), for purposes of paying reduced fees to the United States Patent and Trademark Office under Sections 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office, with regard to the invention described in the application identified above.

I have not assigned, granted, conveyed or licensed, and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c), if that person had made the invention, or to any concern that would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

No person, concern or organization exists to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

Applicant: John Paulson  
Application No.: 09/928,918

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Inventor(s): John Paulson

I hereby state that I am one of the parties in Section 1.33(b) representing the independent inventor(s) listed above.

Name of Person Signing: Jeffry W. Smith, Reg. No. 33455  
Title of Person if Other Than Owner: Attorney for Applicant

Signature: Jeffry W. Smith Date: June 19, 2003



EXPRESS MAIL LETTER

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: John Paulson  
Filed: August 13, 2001  
Application No.: 09/928,918  
For: SEGMENTAL BLOCK CONNECTION SYSTEM  
Docket No.: PAULJO-4  
Express Mail No.: EV280325658US  
Date of Deposit: June 19, 2003

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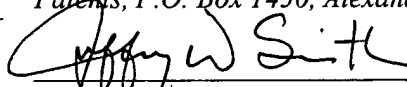
JUN 24 2003

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I hereby certify that these attached documents

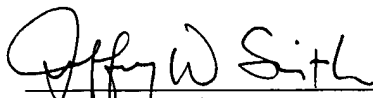
- Response postcard
- Check in the amount of \$507.00
- PTO/SB 21 (1p)
- PTO/SB 17 (1p) and 1 copy
- PTO/SB 22 (1p) and 1 copy
- PTO/SB 06 (1p)
- Amendment (9pp)
- Small Entity Statement (2pp)

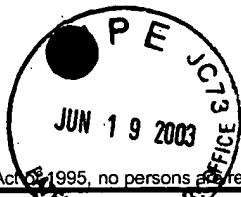
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(Jeffrey W. Smith, Reg. No. 33455)

Enclosed for filing please find the above-referenced documents. Please indicate receipt of these documents by returning the attached postcard with the official Patent and Trademark Office receipt stamped thereon.

Respectfully submitted,

  
Jeffrey W. Smith, Reg. No. 33455  
Attorney for Applicant  
Lathrop & Clark LLP  
P.O. Box 1507  
Madison, WI 53701-1507  
(608) 257-7766



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# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 507.00

## Complete if Known

Application Number 09/928,918  
Filing Date August 13, 2001  
First Named Inventor John Paulson  
Examiner Name Katherine W. Mitchell  
Art Unit 3677  
Attorney Docket No. PAULJO-4

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## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit  
Account  
Number  
Deposit  
Account  
Name

15-0660

LATHROP & CLARK LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☐ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$ )

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	-20** =	X	
Independent Claims	-3** =	X	
Multiple Dependent			

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ ) 42.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	465.00
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 465.00

## SUBMITTED BY

Name (Print/Type) Jeffry W. Smith

Registration No.  
(Attorney/Agent)

33455

(Complete if applicable)

Telephone 608-257-7766

Signature

*Jeffry W. Smith*

Date

June 19, 2003

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	09/928,918
	Filing Date	August 13, 2001
	First Named Inventor	John Paulson
	Art Unit	3677
	Examiner Name	Katherine W. Mitchell
Total Number of Pages in This Submission	Attorney Docket Number	PAULJO-4

**ENCLOSURES** (Check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): PTO/SB 06 (1p)
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Remarks

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**GROUP 3600****SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Jeffrey W. Smith, Reg. No. 33455
Signature	<i>Jeffrey W. Smith</i>
Date	June 19, 2003

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. Washington, DC 20231 on this date:

Typed or printed name	Jeffrey W. Smith, Reg. No. 33455		
Signature	<i>Jeffrey W. Smith</i>	Date	June 19, 2003

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875						Application or Docket Number 09/928,918					
CLAIMS AS FILED – PART I											
(Column 1)		(Column 2)		SMALL ENTITY		OR OTHER THAN SMALL ENTITY					
FOR		NUMBER FILED		RATE		FEE					
BASIC (37 CFR 1.16(a))		[REDACTED]		[REDACTED]		\$ [REDACTED]					
TOTAL CLAIMS (37 CFR 1.16(c))		minus 20 = *		X \$ [REDACTED] =		OR X \$ [REDACTED] =					
INDEPENDENT CLAIMS (37 CFR 1.16(b))		minus 20 = *		X \$ [REDACTED] =		OR X \$ [REDACTED] =					
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d))				+ \$ [REDACTED] =		OR + \$ [REDACTED] =					
				TOTAL		OR TOTAL					
<p>* If the difference in column 1 is less than zero, enter "0" in column 2.</p>											
CLAIMS AS AMENDED – PART II											
(Column 1)		(Column 2)		(Column 3)		SMALL ENTITY		OR OTHER THAN SMALL ENTITY			
AMENDMENT A		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR		PRESENT EXTRA		RATE		ADDI- TIONAL FEE	
Total (37 CFR 1.16(c))		* Minus **		20		=		X \$ [REDACTED] =		OR X \$ [REDACTED] =	
Independent (37 CFR 1.16(b))		* Minus ***		6		= 1		X \$ 42 = 42 0		OR X \$ [REDACTED] =	
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))				+ \$ [REDACTED] =		OR + \$ [REDACTED] =		TOTAL ADD'L FEE		OR TOTAL ADD'L FEE	
				TOTAL ADD'L FEE		42.00		OR TOTAL ADD'L FEE		OR TOTAL ADD'L FEE	
(Column 1)		(Column 2)		(Column 3)		SMALL ENTITY		OR OTHER THAN SMALL ENTITY			
AMENDMENT B		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR		PRESENT EXTRA		RATE		ADDI- TIONAL FEE	
Total (37 CFR 1.16(c))		* Minus **		=		X \$ [REDACTED] =		OR X \$ [REDACTED] =		OR X \$ [REDACTED] =	
Independent (37 CFR 1.16(b))		* Minus ***		=		X \$ [REDACTED] =		OR X \$ [REDACTED] =		OR X \$ [REDACTED] =	
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))				+ \$ [REDACTED] =		OR + \$ [REDACTED] =		TOTAL ADD'L FEE		OR TOTAL ADD'L FEE	
				TOTAL ADD'L FEE		[REDACTED]		OR TOTAL ADD'L FEE		OR TOTAL ADD'L FEE	
(Column 1)		(Column 2)		(Column 3)		SMALL ENTITY		OR OTHER THAN SMALL ENTITY			
AMENDMENT C		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR		PRESENT EXTRA		RATE		ADDI- TIONAL FEE	
Total (37 CFR 1.16(c))		* Minus **		=		X \$ [REDACTED] =		OR X \$ [REDACTED] =		OR X \$ [REDACTED] =	
Independent (37 CFR 1.16(b))		* Minus ***		=		X \$ [REDACTED] =		OR X \$ [REDACTED] =		OR X \$ [REDACTED] =	
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))				+ \$ [REDACTED] =		OR + \$ [REDACTED] =		TOTAL ADD'L FEE		OR TOTAL ADD'L FEE	
				TOTAL ADD'L FEE		[REDACTED]		OR TOTAL ADD'L FEE		OR TOTAL ADD'L FEE	

\* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.  
 \*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".  
 \*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".  
 The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

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